OPNAV INSTRUCTION 3380.5B

From: Chief of Naval Operations

Subj: HIGH-VALUE UNIT TRANSIT PROTECTION OPERATIONS

Ref: (a) 33 CFR 165
(b) DoD Instruction 2000.12 of 1 March 2012
(c) OPNAVINST F3300.53C (NOTAL)
(d) OPNAVINST 5530.14E
(e) DoD 5200.08-R of April 2007
(f) DoD Instruction O-2000.16 volume 1 of 17 November 2016 (NOTAL)
(g) NTTP 3-20.6.31M of Jun 2019 (NOTAL)
(i) SECNAVINST S8126.1A (NOTAL)
(j) OPNAVINST N4740.4B (NOTAL)
(k) OPNAVINST N4740.5A (NOTAL)

1. Purpose. To establish Navy policy and responsibilities for managing and executing the protection of High-Value Units (HVU) during restricted-waters transit. Major changes to this revision include elimination of the Office of the Chief of Naval Operations (OPNAV) directed two-vessel armed escort; the determination of the Harbor Protection Unit (HPU) reimbursable rate as an explicit task; and the requirement of formal message traffic when HPU tasking is directed. This instruction is a complete revision and should be reviewed in its entirety.

2. Cancellation. OPNAVINST 3380.5A.

3. Applicability. This instruction applies to all HVU escort stakeholders, including Fleet Commanders (FLTCDR), Type Commanders, Shore Commanders, Navy Component Commanders, and Numbered Fleet Commanders.

4. Background. This instruction outlines the Navy’s HVU transit protection operations policy and supplements guidance contained in references (a) through (f). Transit protection system operations for ballistic missile submarines will be conducted per references (g) through (i). Protection for unmanned, defueled nuclear powered ships and reactor compartment disposal packages will be conducted per reference (j). Protection for moored training ships will be conducted per reference (k).

5. Policy. FLTCDRs are responsible for both providing protection of, and otherwise mitigating risk to, HVU during restricted waters transits. Protection and risk mitigation efforts will be focused on deterring, detecting, preventing and defending against attacks on HVUs while in...
restricted waters or areas that significantly restrict the maneuverability of the HVU, or when warranted by maritime threat levels. Escorts provided by installation HPUs must be fully reimbursable unless employed within their normal patrol authorities.

6. **Definitions**

   a. **HVU.** A HVU is a United States Navy vessel whose loss or removal from service would have significant consequences on the United States Navy’s ability to meet its warfighting requirements. All nuclear powered vessels are designated as HVUs.

   b. **Transit.** Transit includes entering or exiting port, canal passage, and passage through areas that significantly restrict the HVU’s maneuverability for self-defense.

   c. **Restricted Waters.** Restricted waters are those waters that require HVUs to use designated channels or fairways to both enter and exit a port facility.

   d. **Maritime Homeland Security-Operational Planning System (MHS-OPS).** MHS-OPS is the Web-based approved scheduling system for all HVU transit escorts in the continental United States (CONUS) and U.S. territories. FLTCDRs must use MHS-OPS to schedule, manage, and capture information related to HVU escorts.

7. **Mission.** FLTCDRs must provide armed escort(s) to HVUs to deter, detect, prevent, and defend against attacks during transit. FLTCDRs must conduct a local risk assessment that incorporates the local threat assessment; the vulnerability of individual units or commands in the local operating environment; and unit or command criticality based upon individual mission or higher headquarters guidance. If local threat indications and warnings are absent, ambiguous, or unavailable, incorporate most likely and most dangerous threat scenarios into local risk assessment calculus. FLTCDRs may designate additional vessels as HVUs based on the results of Area of Responsibility (AOR) specific risk assessments that have considered threat, vulnerability, and criticality, and apply appropriate protection measures as deemed necessary.

   a. FLTCDRs will develop and publish HVU transit protection and escort policy, to include HVU armed escort requirements, tactics, techniques, and procedures, based on the results of local and AOR specific risk and threat assessments. Within the United States and its territories, HVU transit protection operations can be supported by U.S. Navy, Department of Defense assets, or other Government agency assets, either landside, waterside, or both.

   b. The U.S. Coast Guard has overall responsibility for the safety and security of U.S. ports under its ports, waterways, and coastal security mission. The U.S. Coast Guard mitigates terrorism risks (e.g., potential waterborne improvised explosive device attack) throughout the U.S. Maritime Domain by projecting credible deterrence and interdiction capability. The U.S. Coast Guard has implemented substantial measures since 2001 to improve the overall security of the Nation’s domestic ports through layered security, improved domain awareness, and cooperative partnerships. The U.S. Coast Guard’s port risk mitigation activities may be accounted for in FLTCDR risk assessments when determining the required protective measures for HVU transits in restricted waters.
c. When U.S. Coast Guard assets are employed, the U.S. Coast Guard will utilize their Service-specific tactics, techniques, and procedures during this mission. Requests for U.S. Coast Guard HVU escorts must be submitted via the MHS-OPS collaboration tool, and per local business rules. The use of the MHS-OPS program captures necessary data to facilitate future resourcing and budgeting needs.

d. In the United States and its territories, the U.S. Navy is authorized to stop and detain vessels that violate Naval Vessel Protection Zones (NVPZ). However, naval vessel protection zones do not apply outside the navigable waters of the United States and its territories. Therefore, FLTCDRs must assess each country’s laws and capabilities, as well as host nation’s permissible authorities, when constructing HVU protection requirements. When execution by host nation’s forces is not available or inadequate, FLTCDRs must ensure HVUs are protected by a properly manned, trained, and equipped force that is commensurate with current risk levels.

e. Specific HVU transit protection waiver or exception requests must be submitted to the cognizant FLTCDR for review. FLTCDRs may delegate waiver or exception approval authority as appropriate.

8. Responsibilities

a. Deputy Chief of Naval Operations (CNO) for Operations, Plans and Strategy (CNO N3N5) will review FLTCDR HVU transit protection operations guidance on an annual basis, and serve as the primary liaison with U.S. Coast Guard Headquarters (Deputy Commandant for Operations) for policies pertaining to the HVU protection mission.

b. Deputy CNO Fleet Readiness and Logistics (CNO N4) will validate HPU reimbursable rate(s) in support of paragraph 7 tasking, as developed by Commander, Navy Installations Command (CNIC).

c. Deputy CNO Warfighting Requirements and Capabilities (CNO N9) will serve as the resource sponsor for HVU transit protection operations.

d. CNIC will develop HPU reimbursable rate(s) in support of paragraph 7 tasking, and submit to CNO N4 for validation.

e. Commander, U.S. Fleet Forces Command (COMUSFLTFORCOM) will:

   (1) In coordination with Commander, U.S. Pacific Fleet (COMPACFLT); Commander, U.S. Naval Forces Southern Command (COMUSNAVSO); Commander, U.S. Naval Forces Europe – Africa (COMUSNAVEUR-COMUSNAVAF); and Commander, U.S. Naval Forces Central Command (COMUSNAVCENT), articulate integrated authoritative fleet HVU transit protection warfighting, readiness, and personnel capability requirements to the CNO, and review and comment on HVU joint capabilities integration and development system documents, as applicable.
(2) In coordination with COMPACFLT, COMUSNAVSO, COMUSNAVEUR-COMUSNAVAF, and COMUSNAVCENT, develop HVU transit protection operations doctrine; concept of operations; and tactics, techniques, and procedures.

(3) In coordination with COMPACFLT, COMUSNAVSO, COMUSNAVEUR-COMUSNAVAF, and COMUSNAVCENT, establish HVU transit protection training and education requirements.

f. FLTCDRs have the responsibility and authority to enforce appropriate security measures to ensure the protection of U.S. Navy elements and personnel under their control. FLTCDRs are supported commanders for all operational matters related to HVU transit protection operations throughout their AOR. This command authority applies to all afloat Navy forces within their operational area, to include units not otherwise in the FLTCDR chain of command. FLTCDRs will:

(1) Develop and publish AOR specific HVU transit protection and escort policy, to include HVU armed escort requirements, tactics, techniques, and procedures.

(2) Conduct mission analysis and operational planning for the execution of HVU transit protection operations. Ensure execution by properly manned, trained, and equipped forces.

(3) Execute HVU transit protection operations within their AOR.

(4) Establish command and control relationships and command responsibilities for HVU transit protection operations. Serve as the primary liaison with U.S. Coast Guard district commanders for requests pertaining to the HVU protection mission within their districts. These procedures must establish command and control relationships with local U.S. Coast Guard captains of the port in CONUS, or host nations outside the continental United States (OCONUS), to ensure coordination of each HVU transit protection operation.

(5) Identify fleet HVU transit protection operations requirements.

(6) Develop HVU transit protection operations doctrine; concept of operations; and tactics, techniques, and procedures as directed.

(7) Establish and conduct liaison with the appropriate geographic combatant commander to ensure theater requirements are satisfied by FLTCDR HVU transit protection operations guidance.

(8) Maintain HVU transit protection records for a minimum of five years to properly capture HVU protection data.

(9) Ensure any remission or other employment of installation HPU assets for HVU transit protection operations, outside an installation’s normal patrol zone (waterfront restricted areas or naval defensive sea areas), and associated installation authorities, is tasked via formal record message traffic to ensure proper stakeholder visibility and to enable required reimbursable tracking.
9. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned per the records disposition schedules located on the Department of the Navy Directorate for Administration, Logistics, and Operations, Directives and Records Management Division portal page at https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the local records manager or the Department of the Navy Directorate for Administration, Logistics, and Operations, Directives and Records Management Division program office.

10. Review and Effective Date. Per OPNAVINST 5215.17A, CNO N3N5 will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, DoD, Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.

Releasability and distribution:
This instruction is cleared for public release and is available electronically only via Department of the Navy Issuances Web site, https://www.secnav.navy.mil/doni/default.aspx